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MATTERS RELATING TO ARRANGEMENTS FOR THE FINANCIAL MECHANISM AND FOR TECHNICAL AND FINANCIAL SUPPORT TO DEVELOPING COUNTRY PARTIES

PROVISION TO DEVELOPING COUNTRY PARTIES OF TECHNICAL AND FINANCIAL SUPPORT

Climate Convention Cooperation Programme

Note by the interim secretariat

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I. INTRODUCTION

A. Committee mandate

1. At its ninth session, the Committee took note of the progress report on the project for an information exchange system for country activities on climate change (referred to as Climex) (A/AC.237/51) and invited the interim secretariat and the United Nations Environment Programme (UNEP) to continue their joint activities on that project. Further, the Committee requested that they prepare a substantive report for the tenth session as well as a proposal for activities which could follow the present pilot phase (A/AC.237/55, para. 99)

2. The Committee also took note of the progress report on the training programme to promote the implementation of the Convention (A/AC.237/52) and invited the interim secretariat and the United Nations Institute for Training and Research (UNITAR) to continue their activities on that programme. The Committee requested that they prepare a further progress report for the tenth session together with proposals for the expansion of the programme beyond the pilot phase (A/AC.237/55, para. 104).

3. Also at its ninth session, in the context of discussing programme priorities for the financial mechanism, the Committee reiterated its conclusion reached at its eighth session which states that:

> "priority should be given to the funding of agreed full costs (or agreed full incremental costs, as appropriate) incurred by developing country Parties in complying with their obligations under Article 12.1 and other relevant commitments under the Convention. In the initial period, emphasis should be placed on enabling activities undertaken by developing country Parties, such as planning, endogenous capacity building including institutional strengthening, training, research and education, that will facilitate implementation, in accordance with the Convention, of effective response measures" (A/AC.237/55, para. 80).

B. Scope of the note

4. Prior to the tenth session of the Committee, this agenda item has comprised two parts: (a) the project for an information exchange system on country activities on climate change (hitherto referred to as Climex) and (b) the training programme to promote the implementation of the Convention. However, in order to consolidate its activities with its partners, the interim secretariat, for the tenth session of the Committee, has added a third

element on future activities related to technical cooperation. The three parts are presented together in one document entitled "Climate Convention Cooperation Programme" that brings together all the activities undertaken and facilitated by the interim secretariat and its partners in the area of technical cooperation.

5. Section II of this note, prepared jointly by the interim secretariat and UNEP, provides a status report on the pilot phase of the project formerly known as Climex and now referred to as CC:INFO.

6. Section III, prepared jointly by the interim secretariat and UNITAR, presents a progress report on the pilot phase of the training programme to promote the implementation of the Convention (CC:TRAIN) that UNITAR has been implementing in conjunction with the interim secretariat.

7. Finally, section IV of the present note has been prepared jointly by the interim secretariat, UNDP, UNEP and UNITAR and provides preliminary information on the proposed programme of technical cooperation in support of the Convention, the Climate Convention cooperation programme (CC:COPE), that would provide assistance to countries on activities that correspond to the priorities established by the Committee. The interim secretariat has been encouraging its partners in the United Nations to integrate activities of technical cooperation on climate change, in ways that ensure that those activities are undertaken within the framework of the Convention and, at the same time, that they rely on the experience and the existing work programmes of these partner institutions. Section IV also outlines plans for extension beyond the pilot phase for the CC:INFO and CC:TRAIN programmes.

C. Possible action by the Committee

8. The Committee is invited to take note of:

(a) Progress achieved in both the CC:INFO and CC:TRAIN programmes, in particular in providing services to interested countries on request;

(b) The new acronyms by which these programmes are referred to, that is, CC:TRAIN and CC:INFO;

(c) The plan to integrate these activities as subprogrammes of CC:COPE.

9. The Committee may also wish:

(a) To endorse the initiative of the interim secretariat and its partners (UNDP, UNEP, UNITAR) to promote CC:COPE, a collaborative and coordinated programme of technical cooperation in support of the implementation of the Convention by developing countries and countries with economies in transition, which should make use of opportunities of synergy while avoiding unnecessary duplication;

(b) To confirm that this approach is consistent with the relevant provisions of the Convention, namely, Article 8.2(c) and (e) and Article 12.7 and the initial programme priority for "enabling activities" that the Committee has recommended for the financial mechanism of the Convention;

(c) To note that the cooperation programme will be coordinated with bilateral technical cooperation efforts;

(d) To support the endeavours of the interim secretariat and its partners to obtain adequate funding for this programme from multilateral and bilateral sources and in this connection, to submit a fully developed proposal based on this concept for consideration by the Global Environment Facility (GEF) Council, in accordance with GEF procedures;

(e) To note that the partners will explore with the GEF secretariat possibilities for financial support for this programme through the GEF.

10. Delegations may wish to continue making use of the various facilities that are offered, and which are being proposed for the future within CC:COPE, by contacting the interim secretariat directly.

II. CLIMATE CONVENTION INFORMATION EXCHANGE PROGRAMME: PROGRESS REPORT (prepared jointly with UNEP)

A. Background

11. At its eighth and ninth sessions the Committee was informed about Climex, now known as CC:INFO (see A/AC.237/51 and A/AC.237/38).

12. Since the ninth session of the Committee, UNEP has signed the project document governing the joint activities of this programme, and as a result these could be started according to the original plans. UNEP is contributing US$200,000 to the pilot phase of the project, in addition to some staff time both from its Climate Unit in Nairobi and from the UNEP/World Meteorological Organization (WMO) Information Unit on Climate Change (IUCC).

13. The programme has also received a contribution of US$200,000 from the Government of Denmark through the trust fund for the negotiating process.

14. As a result of these contributions, and of a balance from the trust fund, a programme officer has been recruited to assist the programme manager in the day-to-day running of the programme.

15. Given the fact that there are a number of other international activities with the name "Climex", and in order to avoid confusion, a new name had to be found. The new acronym "CC:INFO" represents "climate convention information exchange", and has been chosen in such a way as to complement the names being chosen for other activities undertaken or supported by the interim secretariat. Thus "**CC:**" indicates a **climate convention** related activity.

B. Programme activities to date

16. In the period following the ninth session, the most important tasks were to collect and process as much data as possible and to improve the data processing facilities to ensure that data collected could be efficiently processed and stored as useful information. The results of this work can be seen in the printed folder that will be made available to all delegations during the tenth session.

17. The information that has been collected and processed so far is now available in a set of linked databases, running under Microsoft's Access software. The detailed programming was undertaken in-house by members of the programme team. Information from the database can be printed, sent directly to a telefax server, or exported to another database format, including to formats suitable for distribution via electronic mail.

18. The information that is available from the CC:INFO information base will be printed at least once a year in a folder, which can then be updated using new information as often as needed without having to throw away printed pages where the information has not changed. The folder was designed with assistance from the IUCC.

19. The building blocks of the information base include "activity profiles" and "organization profiles", which contain detailed information about an activity (whether proposed, under implementation or already completed) or about an organization that could potentially provide resources. Based on these detailed profiles, the software programme developed is able to generate summary matrices that represent such information as summary tables, including:

- Activity matrix: Listing of activities on a country-by-country basis (one page per country)
- Organization matrix: Listing of key organizations sorted in alphabetical order
- Others: The programme can generate any other type of report upon request.

20. During the period since the ninth session, the project has been presented at a number of international meetings related to country activities on climate change. This has been instrumental in raising awareness about the nature of the project and about the kind of information that it can provide.

21. During these meetings, there have been regular requests that the information base be also made available via electronic networks, particularly on the Internet. Plans have been developed to do this, and by the tenth session, some of the information developed within the project should be also available this way, as well as through the APC networks and through the World Wide Web server that is being installed by the IUCC on the Internet.

22. CC:INFO has also started receiving requests for assistance from countries. Such information has been processed and circulated to organizations that could potentially provide resources for the proposed activities. It is still to be seen whether the required resources will be found. It is expected that as the programme becomes better known, more and more such requests will be received. Delegations are invited to consider passing requests for assistance through CC:INFO and to make this facility known to other interested national agencies.

C. Preliminary appraisal of the pilot phase

23. Climex was set up with the objective of exchanging information relating to country activities at the national level for the purpose of facilitating and coordinating external support for such activities and sharing information about their results on a voluntary basis.

24. Climex, now known as CC:INFO, has become an authoritative and up-to-date source of information related to country activities on climate change, and especially related to "enabling activities" such as country studies, inventories and strategy development. Reactions to the preliminary outputs have been very positive, and requests that have come in to the programme secretariat for additional information based on these also confirm this. The information base of the programme will always be a dynamic one, necessitating regular updates. Programme plans have been developed to ensure that this is maintained by continuous monitoring of the situation and consequent updating of the CC:INFO information base.

25. During this initial pilot phase, CC:INFO has also started to collect project proposals, including formal proposals by Governments. These have been processed in the information base and made available to organizations that could potentially provide resources for the proposed activities. The modest number of requests is expected to increase in the future.

26. It is too early to fully evaluate the usefulness of the programme. Consequently, a detailed evaluation will be undertaken in late 1994, including a systematic analysis of all incoming requests for information and assistance. Based on initial requests that have come in so far, the programme has been viewed positively, and continued operation is called for. Proposals on how the programme could be continued within the broader framework of the CC:COPE can be found in section IV, below.

III. TRAINING PROGRAMME TO PROMOTE THE IMPLEMENTATION OF THE CONVENTION: PROGRESS REPORT (prepared jointly with UNITAR)

A. Background

27. During its seventh, eighth and ninth sessions, the Committee was informed about the pilot phase of the training programme to promote the implementation of the Convention (now referred to as CC:TRAIN) (see A/AC.237/28, A/AC.237/40 and A/AC.237/52).

28. CC:TRAIN aims to promote the implementation of the Convention by supporting and strengthening national institutions and processes which facilitate the development of national implementation strategies. As an offshoot of its primary mission, the training programme also aims to promote feedback on the implementation of the Convention from the "grass-roots level" to the Convention secretariat and subsidiary bodies.

29. Operations in the three participating countries during the pilot phase began in December 1993 and will have concluded by June 1995. By that time, CC:TRAIN will have completed a full training cycle in the three participating countries.

B. Programme activities to date

30. Since the ninth session, CC:TRAIN has conducted the first round of national workshops and country team seminars in the three pilot phase countries: Zimbabwe, Lithuania and Viet Nam. Of the three countries, the first had already ratified, and the other two are considering doing so. CC:TRAIN is intended to contribute to this process. The dates of the seminars were as follows:

Country	National workshop	Country team seminar
Zimbabwe	9-10 May 1994	11-13 May 1994
Lithuania	23-24 May 1994	25-27 May 1994
Viet Nam	13-14 June 1994	16-18 June 1994

31. The "National workshops on the UNFCCC: challenges and opportunities" were organized primarily by the country teams for national and subnational decision makers and were intended to raise awareness of the opportunities provided by the Convention as well as to set the tone for subsequent activities under CC:TRAIN. The national workshops touched on (a) the science of the climate change problem, (b) the possible impacts of climate change in the country, (c) the international and national responses to climate change, including the Convention and the financial and technical assistance provided under it and (d) the process for developing a national strategy. National experts provided most of the substantive resources for the national workshops in all three countries, with contributions from UNDP, UNEP, IUCC, the Center for Global Change, University of Maryland (USA), the African Centre for Technology Studies (Kenya), Risø National Laboratory (Denmark), and the Climate Change Unit of the University of East Anglia (United Kingdom).

32. In Zimbabwe, the national workshop, attended by about 50 participants, presented the full range of activities in the country, related to the implementation of the Convention. In Lithuania, the national workshop was attended by some 80 participants and led to a commitment to formalize the country team as a national committee on climate change. The national workshop in Viet Nam was attended by some 80 participants and called for

immediate recommendations by the country team to the national Government. The participants in all three countries were mostly from national and subnational authorities, with representatives from the non-governmental sector, public media and scientific and research communities.

33. The country team seminars immediately followed the national workshops and were organized exclusively for the country teams. The seminars were designed to orient the country teams on their responsibilities and to give them a more in-depth understanding of the issues as well as an overview of the methodologies applied to climate change analysis and the preparation of national communications. During the seminar the country teams discussed their role, developed a work plan to guide their future work, and identified some of their training and other needs. It should be recalled that the CC:TRAIN country team approach involves inviting participating countries to designate a group of representatives from various government agencies, industry, non-governmental organizations and the research/academic community to form a country team. The country team is then charged with organizing the activities of the programme and preparing the national implementation strategy; it is provided, in turn, with support in the form of training and certain technical resources.

34. In Zimbabwe, the country team is at present composed of 20 representatives from 11 national and sub-national Government ministries and agencies, three university research institutions, and three non-governmental organizations. The country team is coordinated jointly by the Ministry of Tourism and Environment and the Ministry of Transport and Energy. The Southern Centre for Energy and Environment, a local research institute, acts as the secretariat of the country team. One of the roles that the country team will play is that of coordinator of the various climate change related activities in Zimbabwe.

35. In Lithuania, the country team is at present composed of 16 representatives from eight national Government ministries, two universities, two research institutes, one umbrella environmental non-governmental organization and one representative from private enterprises. The country team is coordinated by the Ministry of Environment Protection and, while still an ad hoc body, will soon be transformed into a national committee with broader representation and the mandate to develop a national implementation strategy for Lithuania.

36. In Viet Nam, the country team is at present composed of 20 representatives from 16 national Government ministries, including the Office of the Government and the State Planning Committee, one university research institute and one national non-governmental organization. The country team is coordinated by the Hydrometeorological Service of

Viet Nam, which has the mandate to address climate change issues. One of the first tasks to be performed by the country team is to provide recommendations on climate change to the national Government, including issues related to the ratification of the Convention.

37. In all the participating countries, the national UNDP country offices have been invited to participate in the work of the respective country teams. Reports of both the national workshops and the country team seminars are being prepared by the country teams and will be made available to interested parties.

C. Next steps

38. During the final part of the pilot phase a number of activities that were planned in the original project plan still need to be completed in the pilot countries. In addition, plans are already being developed for phase II of the programme. In this second phase, the intention is to cover more countries, with more or less the same programme package as in the pilot phase. Parallel to this, plans are now under way to fully integrate CC:TRAIN in CC:COPE. This is discussed in greater detail in section IV, below.

39. Training seminars will be provided to the country teams over the next eight months, including those organized specifically by the programme secretariat, and those organized by other institutions where country team members can participate under the fellowship mechanism of the programme. A menu of various training modules is being prepared based on the feedback gained during the country team seminars which will be the basis for the specific training activities in each of the participating countries.

40. A series of national consultative meetings on various issues relevant to climate change and the preparation of a national implementation strategy will be organized over the next eight months by the country teams. These meetings will provide public input to the formulation of national implementation strategies as well as assist in the coordination of climate change related activities.

41. Between March and June 1995, the country teams will organize a "National workshop on the implementation of the United Nations Framework Convention on Climate Change" bringing together policy makers to consider the national implementation strategies developed by the country teams. The national implementation strategy is intended to reflect the national consensus on how the Convention will be implemented. It will build upon existing and

ongoing work related to the Convention (for example, country studies), including work under the proposed CC:COPE (see section IV, below). The national implementation strategy will include the following elements:

(a) An analysis of the implications of the United Nations Framework Convention on Climate Change, which identifies both the obligations and opportunities for the country;

(b) A preliminary assessment based on existing scientific knowledge and the best available data of (a) a country's vulnerability to climate change, or (b) its anthropogenic emissions by sources and removals by sinks of greenhouse gases not controlled by the Montreal Protocol, and the additional work needed to develop a fully-fledged national inventory;

(c) A description of existing, and some proposed, policies of national and subnational authorities that significantly affect either the vulnerability of the country to climate change or its anthropogenic emissions by sources and removals by sinks of greenhouse gases;

(d) A discussion of the potential for new or modified policies to promote national economic and social development while addressing simultaneously the problem of climate change;

(e) A description of ongoing procedures and responsibilities for the development and implementation of policy on climate change;

(f) Identification of possible next steps towards the implementation of the Convention, including possible projects which could be submitted for funding under the Convention.

42. Based on the experience gained in organizing the national workshops, a first version of the CC:TRAIN **training package** should be ready for use by the participating countries and other institutions in early 1995. The training package is being developed in close cooperation with the steering committee of CC:TRAIN and the programme partners. An important feature of the training package will be the integration of materials developed locally in the three participating countries, and will include a training methodology, a roster of resource persons and institutions, training resources and materials, institutional procedures and country guidelines for organizing activities, and a team (programme partners and roster of resource persons) for programme implementation.

43. A series of **discussion papers** on the preliminary experiences of the participating countries in implementing the Convention will also be developed with the cooperation of the country teams and some of the programme partners. These discussion papers will be widely disseminated so as to provide feedback to the Committee and later to the COP.

44. Requests for CC:TRAIN have been received by the interim secretariat from a number of countries. These requests have been noted and will be reviewed together with other requests under the proposed CC:COPE.

D. Evaluation of the pilot phase

45. A preliminary evaluation of CC:TRAIN will take place in July or August 1994. The results of this initial evaluation will be used to improve the programme for the next phase under the proposed umbrella programme.

IV. FUTURE ACTIVITIES: CLIMATE CONVENTION COOPERATION PROGRAMME (prepared jointly with UNDP, UNEP and UNITAR)

A. Background

46. Following the entry into force of the Convention, an increasing number of countries are seeking to start, or strengthen, activities towards implementing its provisions. Many developing countries and countries with economies in transition need assistance in building up their capacities sufficiently to enable them to implement the Convention, for example, by carrying out activities such as undertaking studies of their inventories, analysing the possible options for mitigation and adaptation, and preparing impact and vulnerability assessments.

47. This need is reflected in the conclusion of the Committee, stated at its eighth session and reiterated at its ninth session, that "in the initial period emphasis should be placed on enabling activities undertaken by developing country Parties such as planning, endogenous capacity building including institutional strengthening, training, research and education, that will facilitate implementation ..."

48. Activities to meet this need may be considered as an initial response of the Committee to Article 12.7 which states that "from its first session, the Conference of the Parties shall arrange for the provision to developing country Parties of technical and financial support, on request, in compiling and communicating information under this Article, as well as in

identifying the technical and financial needs associated with proposed projects and response measures under Article 4." Furthermore, the contribution of the Convention secretariat to such activities is envisaged in Article 8.2(c) and Article 12.7; the Convention also enjoins its secretariat to ensure the necessary coordination with the secretariats of other relevant international bodies (Article 8.2(e)).

49. A number of bilateral and multilateral assistance activities are already under way. It is important to develop a coordinated approach among these activities in order to maximize synergies and minimize duplication, so as to better assist all Parties. Such assistance should take fully into account the provisions of the Convention and subsequent decisions of the Committee and the Conference(s) of the Parties (COP).

B. Proposed programme

50. The interim secretariat and its partners in the United Nations have sought to integrate activities that respond to the needs described in paragraphs 46-49 above, so that those activities may be implemented in a coordinated manner. As a result, ideas for the CC:COPE have emerged, and a proposal is being developed. The basic objective of such a programme is to facilitate assistance to Parties to the Convention, on request, through capacity building in order to implement the Convention in the context of an overall strategic framework, that is, a framework resulting directly from the provisions of the Convention and from subsequent decisions of the Committee, and later the COP, and one that is integrated with overall national plans and priorities for sustainable development. The programme would build extensively on the existing programmes and activities of the United Nations and bilateral partners in this area.

51. The advantages of the approach outlined above include the following:

(a) A direct and more efficient connection between ongoing and future programmes of assistance to respond to the requirements of the Convention through the facilitating and coordinating functions of the Convention secretariat (see Article 8.2(c) and (e));

(b) An opportunity, through such a cooperative process, to coordinate inputs from multilateral as well as bilateral assistance. This can represent a welcome simplification for recipients and improve the efficiency of technical cooperation;

(c) The programme would be open to Parties (or signatories that are planning to ratify) that wish to start national programmes to respond to the Convention;

(d) Arrangements for funding will be easier, as individual country or regional projects will be proposed under one common framework, agreed to beforehand.

52. Initial analysis indicates that technical assistance may need to be provided to countries for a number of tasks that will need to be carried out prior to implementing the activities referred to in Article 4.1 and before communicating information on these to the COP, as required under Article 12. These tasks are primarily centred around national and, where appropriate, regional capacity building efforts as follows:

(a) To assist in identifying and bringing together key actors relevant to implementing the Convention;

(b) To create or strengthen the capacity to undertake inventories of greenhouse gas emissions and their removals by sinks;

(c) To create or strengthen the capacity to evaluate potential impacts of climate change and vulnerabilities to these impacts;

(d) To create or strengthen the capacity to develop, evaluate and implement response strategies, including mitigation and adaptation measures, including specific projects for external funding;

(e) To create or strengthen the capacity to identify needs for technology transfer, and to apply and adapt technologies that can help in the implementation of the Convention;

(f) To promote scientific understanding, exchange of information, education and public awareness.

53. In this context, the continuation of the activities of CC:TRAIN that the interim secretariat has initiated with UNITAR should take place within the framework of the programme of cooperation proposed here. This will enable countries to continue activities started under CC:TRAIN and to receive assistance for the implementation of the national strategies within this broader programme. While the training programme essentially aims to formulate a national strategy to respond to the objectives of the Convention, the programme proposed would go further, by actually providing assistance to implement elements of those national strategies. Consequently, it is envisaged that CC:TRAIN, as described in section III, above will become an important programme module within the proposed programme.

54. Similarly, CC:INFO, the climate convention information exchange programme, previously known as Climex, set up jointly by the interim secretariat and UNEP, is also placed within the proposed cooperation programme. Among its other advantages, CC:INFO will provide the programme with a clearing house for available and needed resources and with an overview of activities already implemented.

55. The interim secretariat is currently holding consultations with UNDP, UNEP and UNITAR to explore ways in which these and other multilateral or bilateral organizations could assist countries with other activities in the above-mentioned tasks. For example, UNEP has been planning to establish Climate Impacts and Response Strategies Networks (CIRSNet) in various regions, starting with a pilot project for Africa. The primary objectives include helping countries to develop national strategies and programmes to respond to climate change and identifying the need for research projects and studies to assess impacts in order to formulate and implement the response strategies. It is planned to operate the CIRSNet within CC:COPE as a mechanism to facilitate discussions, coordination and implementation of various activities.

C. Institutional arrangements

56. The programme would be implemented by partners in the United Nations system, as well as through existing bilateral programmes; there is no need for the creation of a new institution. The programme would be facilitated and coordinated by a small programme unit physically co-located with the secretariat of the Convention. UNDP, through its country offices and regional bureaux, may be the principal channel through which countries could request assistance and develop the actual projects. UNEP and UNITAR will be able to make use of their previous experience in the different activities undertaken in this area and to assist countries directly in implementing the specific country or regional projects developed in such contexts. It is expected that the programme will also develop similar relationships with bilateral programmes that are now under way.

57. The programme could receive funding from various sources, multilateral as well as bilateral. A significant share of its resources will be sought from the GEF through the submission of a fully developed proposal based on this programme concept.

58. An ad hoc steering committee, which will include representatives of UNDP, UNEP, UNITAR and the interim secretariat, and may include representatives of other institutions, is now being formed. A number of informal consultations have already taken place and have provided the basis for this note. It is intended that a proposal for funding an initial phase of

this programme will be prepared and submitted for the consideration of the GEF Council, in accordance with GEF procedures, as early as possible in 1995. If its funding is approved by the GEF, initial activities of the programme could start in the period following the first session of the COP.

59. The interim secretariat will prepare a detailed note for the eleventh session informing the Committee about further developments in this programme.